

12-10-01

A

Please type a plus sign (+) inside this box → ☐PTO/SB/05 (11-00)  
Approved for use through 10/31/2002. OMB 0651-0032U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE  
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.	YOR9-2001-0463US (8728-525)
First Inventor	Jaroslav Gergic
Title	Reusable VoiceXML Dialog Components....
Express Mail Label No.	EL797416025US

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 73]  
(preferred arrangement set forth below)
  - Descriptive title of the invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 4]
5. Oath or Declaration [Total Pages ]
  - a. ☐ Newly executed (original or copy)
  - b. ☐ Copy from a prior application (37 CFR 1.63 (d))  
(for continuation/divisional with Box 18 completed)
    - i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b)
6. ☐ Application Data Sheet. See 37 CFR 1.76

**ADDRESS TO:** Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - a. ☐ Computer Readable Form (CRF)
  - b. Specification Sequence Listing on:
    - i. ☐ CD-ROM or CD-R (2 copies); or
    - ii. ☐ paper
  - c. ☐ Statements verifying identity of above copies

**ACCOMPANYING APPLICATION PARTS**

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement of Power of Attorney (when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☒ Information Disclosure Statement (IDS)/PTO-1449 ☒ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
16. ☐ Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent. PTO/SB/17
17. ☒ Other: .....

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No. \_\_\_\_\_  
 Prior application information Examiner \_\_\_\_\_ Group Art Unit \_\_\_\_\_

**For CONTINUATION OR DIVISIONAL APPS only:** The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

**19. CORRESPONDENCE ADDRESS**

<input type="checkbox"/> Customer Number or Bar Code Label	(Insert Customer No. or Attach bar code label here)		or	<input checked="" type="checkbox"/> Correspondence address below
Name	Frank Chau			
Address	F. CHAU & ASSOCIATES, LLP 1900 Hempstead Turnpike, Suite 501			
City	East Meadow	State	New York	Zip Code 11554
Country	U.S.A	Telephone	(516) 357-0091	Fax (516) 357-0092

Name (Print/Type)	Frank V. DeRosa	Registration No. (Attorney/Agent)	43,584
Signature	[Signature]		Date 12/4/01

JC927 U.S. PTO

10/007084

12/04/01

1129 U.S. PTO  
12/04/01

12/04/01

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**FEE TRANSMITTAL  
for FY 2001**

Patent fees are subject to annual revision.

**Complete if Known**

Application Number	
Filing Date	
First Named Inventor	Jaroslav Gergic
Examiner Name	
Group Art Unit	
Attorney Docket No.	YOR9-2001-0463 US (8728-525)

**TOTAL AMOUNT OF PAYMENT** (\$ ) 1,130.00**METHOD OF PAYMENT (check one)**

- 1.
- ☒
- The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number	50-0510/IBM
Deposit Account Name	IBM/Yorktown Heights

- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17
- ☐ Applicant claims small entity status. See 37 CFR 1.27

- 2.
- ☐
- Payment Enclosed:

☐ Check ☐ Credit card ☐ Money Order ☐ Other

**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
101 740	201 370	Utility filing fee	\$710.00
106 330	206 165	Design filing fee	
107 510	207 255	Plant filing fee	
108 740	208 370	Reissue filing fee	
114 160	214 80	Provisional filing fee	

**SUBTOTAL (1)** (\$ ) 710.00**2. EXTRA CLAIM FEES**

Total Claims	Extra Claims	Fee from below	Fee Paid
34	-20** = 14	\$18	\$252
5	-3** = 2	\$84	\$168
Multiple Dependent		\$280	0

\*\*for number previously paid, if greater; For Reissues, see below

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description
103 18	203 9	Claims in excess of 20
102 84	202 42	Independent claims in excess of 3
104 280	204 140	Multiple dependent claim, if not paid
109 84	209 42	** Reissue independent claims over original patent
110 18	210 9	** Reissue claims in excess of 20 and over original patent

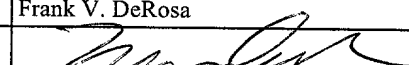
**SUBTOTAL (2)** (\$ ) 420.00**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
105 130	205 65	Surcharge - late filing fee or oath	
127 50	227 25	Surcharge - late provisional filing fee or cover sheet	
139 130	139 130	Non-English specification	
147 2,520	147 2,520	For filing a request for ex parte reexamination	
112 920*	112 920*	Requesting publication of SIR prior to Examiner action	
113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action	
115 110	215 55	Extension for reply within first month	
116 400	216 200	Extension for reply within second month	
117 920	217 460	Extension for reply within third month	
118 1,440	218 720	Extension for reply within fourth month	
128 1,960	228 980	Extension for reply within fifth month	
119 320	219 160	Notice of Appeal	
120 320	220 160	Filing a brief in support of an appeal	
121 280	221 140	Request for oral hearing	
138 1,510	138 1,510	Petition to institute a public use proceeding	
140 110	240 55	Petition to revive - unavoidable	
141 1,280	241 640	Petition to revive - unintentional	
142 1,280	242 640	Utility issue fee (or reissue)	
143 460	243 230	Design issue fee	
144 620	244 310	Plant issue fee	
122 130	122 130	Petitions to the Commissioner	
123 50	123 50	Processing fee under 37 CFR 1.17(q)	
126 180	126 180	Submission of Information Disclosure Stmt	
581 40	581 40	Recording each patent assignment per property (times number of properties)	
146 740	246 370	Filing a submission after final rejection (37 CFR § 1.129(a))	
149 740	249 370	For each additional invention to be examined (37 CFR § 1.129(b))	
179 740	279 370	Request for Continued Examination (RCE)	
169 900	169 900	Request for expedited examination of a design application	

Other fee (specify) \_\_\_\_\_

\* Reduced by Basic Filing Fee Paid

**SUBTOTAL (3)** (\$ ) 0.00**SUBMITTED BY**

Name (Print/Type)	Frank V. DeRosa	Registration No. (Attorney/Agent)	43,584	Telephone	(516) 357-0091
Signature		Date	December 4, 2001		

Complete (if applicable)

Assistant Commissioner for Patents  
Washington, D.C. 20231  
Sir:

Attorney Docket: YOR9-2001-0463 US (8728-525)  
Date: December 4, 2001

Transmitted herewith for filing is the patent application of:

Inventor(s): Jaroslav GERGIC; Rafah A. HOSN; Jan KLEINDIENST; Stephane MAES;  
Thiruvilwamalai V. RAMAN; Jan SEDIVY; and Ladislav SEREDI  
For: REUSABLE VOICEXML DIALOG COMPONENTS, SUBDIALOGS AND BEANS

Enclosed are: ☒ 65 page(s) of specification; ☒ 1 page(s) of Abstract; ☒ 7 Page(s) of Claims;  
☒ 4 Sheets of drawings

- ☐ Declaration and Power of Attorney  
☐ An Assignment of the invention to **International Business Machines Corporation, Armonk, New York**, with PTO Form 1595.  
☒ Information Disclosure Statement, cited references and PTO Form 1449  
☐ Associate Power of Attorney

**CALCULATION OF UTILITY APPLICATION FEE**

For	Number Filed	Number Extra	Rate	Basic Fee \$710.00
TOTAL CLAIMS	34	14	x 18 =	\$252.00
INDEPENDENT CLAIMS	5	2	x 84 =	\$168.00
<input type="checkbox"/> Multiple Dep. Claim			270	\$0
				<b>TOTAL \$1,130.00</b>

☒ Charge the amount of \$1,130.00 to Deposit Account No. 50-0510/IBM (Yorktown Heights).

☒ The Commissioner is hereby authorized to charge payment of the following fees associated with this communication or credit any overpayment to Deposit Account No. 50-0510/IBM (Yorktown Heights). A duplicate copy of this sheet is enclosed.

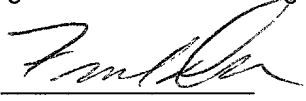
☒ Any additional filing fees required under 37 C.F.R. §1.16.

☒ Any patent application processing fees under 37 C.F.R. §1.17.

Date: December 4, 2001

**Address all Correspondence to:**

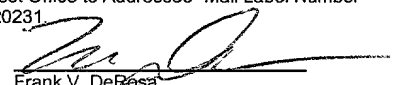
F. CHAU & ASSOCIATES, LLP  
Suite 501  
1900 Hempstead Turnpike  
East Meadow, New York 11554  
Tel. No. (516) 357-0091  
Fax. (516) 357-0092

  
Frank V. DeRosa  
Reg. No. 43,584

Attorney for:  
IBM Corporation  
Intellectual Property Department  
P.O. Box 218  
Yorktown Heights, NY 10598

**CERTIFICATION UNDER 37 C.F.R. § 1.10**

I hereby certify that this New Application Transmittal and the documents referred to as enclosed therein are being deposited with the United States Postal Service on this date December 4, 2001 in an envelope as "Express Mail Post Office to Addressee" Mail Label Number EL797416025US addressed to Assistant Commissioner for Patents, Washington, D.C. 20231.

  
Frank V. DeRosa